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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE
(MODIFIED) PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT
(Use several sheets if necessary)
(37 C.F.R. § 1.98(b))

ATTY. DOCKET NO.
53087-5007

SERIAL NO.
09/842,269

APPLICANT
Carl A. Gunter

FILING DATE
April 25, 2001

GROUP

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | PATENT NUMBER | | | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|------------------|---------------|---|---|---|---|---|---|---|------------|-----------------|-------|----------|----------------------------|
| NN | A | 6 | 2 | 1 | 6 | 1 | 1 | 6 | 04/10/01 | Barkan, et al. | 705 | 76 | |
| NN | B | 5 | 6 | 5 | 9 | 6 | 1 | 6 | 08/19/97 | Sudia | 380 | 23 | |
| NN | C | 5 | 9 | 0 | 3 | 8 | 8 | 2 | 05/11/99 | Asay et al. | 705 | 44 | |
| NN | D | 5 | 9 | 4 | 3 | 4 | 2 | 3 | 08/24/99 | Muftic | 380 | 25 | |
| NN | E | 5 | 9 | 7 | 8 | 4 | 8 | 4 | 11/02/99 | Apperson et al. | 380 | 25 | |
| NN | F | 5 | 9 | 6 | 0 | 0 | 8 | 5 | 09/28/99 | De la Huerga | 380 | 25 | |
| NN | G | 6 | 0 | 0 | 3 | 0 | 1 | 4 | 12/14/99 | Lee et al. | 705 | 13 | |
| NN | H | 5 | 9 | 0 | 1 | 2 | 8 | 4 | 05/04/99 | Hamdy-Swink | 395 | 186 | |
| NN | I | 5 | 8 | 7 | 2 | 8 | 4 | 8 | 02/16/99 | Romney et al. | 380 | 25 | |
| NN | J | 5 | 7 | 8 | 4 | 4 | 6 | 3 | 07/21/98 | Chen et al. | 380 | 21 | |
| NN | K | 5 | 7 | 6 | 1 | 3 | 0 | 9 | 06/02/98 | Ohashi et al. | 380 | 25 | |

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

| | | DOCUMENT NUMBER | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION |
|--|--|-----------------|------------------|--------------------------|-------|----------|-------------|
| | | | | | | | YES NO |
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OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

| | | |
|----|---|--|
| NN | L | Blaze, et al., "THE KEYNOTE TRUST-MANAGEMENT SYSTEM VERSION 2", Internet Society, September 1999, pp. 1-32. |
| NN | M | Gunter, et al., "POLICY-DIRECTED CERTIFICATE RETRIEVAL", Software-Practice & Experience, September 21, 2000, Vol. 30, pp. 1609-1640. |
| NN | N | Gunter, et al., "GENERALIZED CERTIFICATE REVOCATION", ACM Symposium On Principles Of Programming Languages, January 2000, pp. 1-14. |

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12/24/03

JAN 25 2002
PATENT AND TRADEMARK OFFICE
U.S. DEPARTMENT OF COMMERCE

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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE
(MODIFIED) PATENT AND TRADEMARK OFFICE
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT
(Use several sheets if necessary)
(37 C.F.R. § 1.98(b))

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U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | PATENT NUMBER | | | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|------------------|---------------|---|---|---|---|---|---|---|------------|----------------|-------|----------|----------------------------|
| NN | O | 5 | 7 | 5 | 7 | 9 | 2 | 0 | 05/26/98 | Misra et al. | 380 | 25 | |
| NN | P | 5 | 7 | 5 | 4 | 6 | 5 | 4 | 05/19/98 | Hiroya et al. | 380 | 24 | |
| NN | Q | 5 | 6 | 9 | 4 | 4 | 7 | 1 | 12/02/97 | Chen et al. | 380 | 25 | |
| NN | R | 5 | 4 | 1 | 2 | 7 | 1 | 7 | 05/02/95 | Fischer | 380 | 4 | |
| NN | S | 5 | 3 | 3 | 9 | 4 | 0 | 3 | 08/16/94 | Parker | 395 | 425 | |
| NN | T | 5 | 2 | 6 | 1 | 0 | 0 | 2 | 11/09/93 | Perlman et al. | 380 | 30 | |
| NN | U | 5 | 3 | 1 | 5 | 6 | 5 | 7 | 05/24/94 | Abadi et al. | 380 | 25 | |
| NN | V | 5 | 2 | 1 | 4 | 7 | 0 | 2 | 05/25/93 | Fischer | 380 | 30 | |
| NN | W | 4 | 8 | 6 | 8 | 8 | 7 | 7 | 09/19/89 | Fischer | 380 | 25 | |
| NN | X | 4 | 8 | 1 | 6 | 6 | 5 | 5 | 03/28/89 | Musyck et al. | 235 | 380 | |
| NN | Y | 5 | 6 | 1 | 5 | 2 | 6 | 8 | 03/25/97 | Bisbee et al. | 380 | 25 | |

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| | | DOCUMENT NUMBER | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION |
|--|--|-----------------|------------------|--------------------------|-------|----------|-------------|
| | | | | | | | YES NO |
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OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

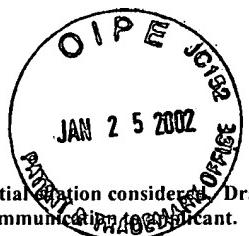
| | | |
|----|----|--|
| NN | Z | Kakkar, et al., "CERTIFICATE DISTRIBUTION WITH LOCAL AUTONOMY", International Workshop on Active Networks, October 2000, pp. 1-19. |
| NN | AA | Blaze, et al., "DECENTRALIZED TRUST MANAGEMENT", Proc. IEEE Conference on Security and Privacy, May 1996, pp. 1-23 |
| NN | BB | Herzberg, et al., "ACCESS CONTROL MEETS PUBLIC KEY INFRASTRUCTURE, OR: ASSIGNING ROLES TO STRANGERS", pp. 1-13. No Date |

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Page 2 of 5



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| | | |
|----|----|--|
| NN | HH | Rivest, et al., "SDSI – A SIMPLE DISTRIBUTED SECURITY INFRASTRUCTURE", April 30, 1996, pp. 1-37. |
| NN | II | C. Ellison, "SPKI REQUIREMENTS", The Internet Society, September 1999, pp. 1-14. |
| NN | JJ | Ellison, et al., "SPKI CERTIFICATE THEORY", The Internet Society, September 1999, pp. 1-43. |
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| FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE (MODIFIED) PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT <small>(Use several sheets if necessary)</small> <small>(37 C.F.R. § 1.98(b))</small> | ATTY. DOCKET NO. APPLICANT FILING DATE | SERIAL NO. GROUP |
|---|---|---------------------------------------|

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U.S. PATENT DOCUMENTS

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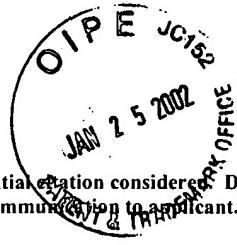
OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

| | | |
|-------------|----|--|
| <i>part</i> | KK | Muller, "BLUETOOTH SECURITY ARCHITECTURE", Bluetooth White Paper, July 15, 1999, pp. 1-33. |
| | | |
| <i>NN</i> | LL | Mettala, "BLUETOOTH PROTOCOL ARCHITECTURE", Bluetooth White Paper, September 29, 1999, pp. 1-20. |
| | | |
| <i>NN</i> | MM | Maywah, "AN IMPLEMENTATION OF A SECURE WEB CLIENT USING SPKI/SDSI CERTIFICATES", S.B. Massachusetts Institute of Technology, May 2000, pp. 1-76. |
| | | |
| <i>NN</i> | NN | Dan Backman, "SMARTCARDS: THE INTELLIGENT WAY TO SECURITY", Network Computing, May 15, 1998, pp. 170-171. |

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| FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE (MODIFIED) PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT <small>(Use several sheets if necessary)</small> <small>(37 C.F.R. § 1.98(b))</small> | ATTY. DOCKET NO. APPLICANT | SERIAL NO. <i>JAN 28 2002</i> <i>Technology Center 2100</i> |
| | FILING DATE | GROUP |

U.S. PATENT DOCUMENTS

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

| | | |
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| NN | OO | Ellison, http://world.std.com/~cme/ , July 21, 2001, pp. 1-3 |
| NN | PP | IEEE, www.ieee.org , 13 pages No Date |
| NN | QQ | Infrared Data Association, www.irda.org , 93 pages No Date |
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| Substitute for form 1449A/PTO TYPE INFORMATION DISCLOSURE STATEMENT BY APPLICANT AUG 08 2003 (use as many sheets as necessary) | | Complete if Known | |
| | | Application Number | 09/842,269 |
| | | Filing Date | April 25, 2001 |
| | | First Named Inventor | Gunter et al. |
| | | Group Art Unit | |
| | | Examiner Name | |
| Sheet | 1 | Attorney Docket Number | 053087-5007 |

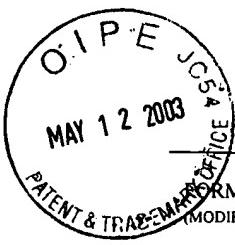
| FOREIGN PATENT DOCUMENTS | | | | | |
|--------------------------|-------------------------|--------|-------------------------|---|---|
| Exr Initials | Foreign Patent Document | | | Name of Inventor or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY |
| | Country Code | Number | Kind Code (if known) | | |
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Signature**

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| <p align="center">FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE (MODIFIED) PATENT AND TRADEMARK OFFICE</p> <p align="center">INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) (37 C.F.R. § 1.98(b))</p> | <p>ATTY. DOCKET NO. 053087-5007</p> <p>APPLICANT Gunter et al.</p> <p>FILING DATE April 25, 2001</p> | <p>SERIAL NO. 09/842,269</p> <p>GROUP</p> |
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OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

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JAN 27 2003

PATENT & TRADEMARK OFFICE

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE
(MODIFIED) PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE
STATEMENT BY APPLICANT
(Use several sheets if necessary)
(37 C.F.R. § 1.98(b))ATTY. DOCKET NO.
053087-5007SERIAL NO.
09/842,269APPLICANT
Gunter et al.FILING DATE
April 25, 2001

GROUP

U.S. PATENT DOCUMENTS

| EXAMINEE R INITIAL | | PATENT NUMBER | | | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|--------------------|---|---------------|---|---|---|---|---|---|--|------------|-------------------|-------|----------|----------------------------|
| NN | A | 6 | 2 | 1 | 2 | 6 | 3 | 4 | | 04/03/01 | Greer, Jr et al | | | |
| NN | B | 5 | 5 | 3 | 0 | 2 | 3 | 5 | | 06/25/96 | Stefik et al. | | | |
| NN | C | 6 | 4 | 4 | 6 | 2 | 5 | 3 | | 09/03/02 | Mellmer | | | |
| NN | D | 5 | 5 | 8 | 3 | 9 | 9 | 3 | | 12/10/96 | Foster et al. | | | |
| NN | E | 6 | 3 | 9 | 3 | 5 | 6 | 5 | | 05/21/02 | Lockhart et al. | | | |
| NN | F | 6 | 4 | 3 | 8 | 6 | 0 | 0 | | 08/20/02 | Greenfield et al. | | | |
| NN | G | 5 | 5 | 7 | 7 | 1 | 2 | 0 | | 11/19/96 | Penzias | | | |
| NN | H | 5 | 2 | 2 | 0 | 6 | 0 | 4 | | 06/15/93 | Gasser et al. | | | |
| NN | I | 6 | 2 | 8 | 2 | 1 | 8 | 3 | | 08/28/01 | Harris et al. | | | |
| NN | J | 0 | 0 | 0 | 7 | 3 | 1 | 7 | | 01/17/02 | Callagahn et al. | | | |
| NN | K | 0 | 1 | 2 | 8 | 9 | 0 | 3 | | 09/12/02 | Kernahan | | | |
| NN | L | 0 | 0 | 3 | 2 | 6 | 2 | 6 | | 03/14/02 | DeWolf et al. | | | |

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OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

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|----|---|---|
| NN | M | Tuomas Aura, "Distributed Access-Rights Management With Delegation Certificates", Secure Internet Programming (LNCS), 1999 Springer-Verlag, pp. 1-25. |
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

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of 1

Complete If Known

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|------------------------|------------|
| Application Number | 09/842,269 |
| Filing Date | 04/25/01 |
| First Named Inventor | Guoqer |
| Group Art Unit | 2131 |
| Examiner Name | |
| Attorney Docket Number | 53087-5007 |

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| Examiner Initials ¹ | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
|--------------------------------|-----------------------|---|----------------|
| NN | A | MICROSOFT .Net Passport Review Guide, "THE WHY, WHAT AND HOW OF MICROSOFT .NET PASSPORT", Published: March 2002, pp. 1-50. | |
| NN | B | 'Net Passport OVERVIEW: 13/http://www.microsoft.com/my services/passport/overview.asp, pp.1-7 21/http://www.microsoft.com/my services/passport/overview.asp, pp. 1 No date | |

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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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